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PTO/SB/21 (modified)  
Approved for use through xx/xx/xx, OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Rev. 10/95

U.S. Department of Commerce  
Patent and Trademark Office

## TRANSMITTAL FORM

(to be used for all correspondence during pendency of  
filed application)

Application Number **09/976,841**

Filing Date **October 13, 2001**

First Named Inventor **Jeffrey C. Hawkins**

Group Art Unit Number **2681**

Examiner Name **Unknown**

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**APR 14 2003**

Total Number of Pages in This Submission **23**

Attorney Docket Number **21495-05938 Technology Center 2600**

### ENCLOSURES (check all that apply)

- |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
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| <ul style="list-style-type: none"><li><input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)<ul style="list-style-type: none"><li><input checked="" type="checkbox"/> Check Enclosed (\$1,896.00)</li></ul></li><li><input checked="" type="checkbox"/> Return Receipt Postcard</li><li><input type="checkbox"/> Response to Notice to File Missing Parts</li><li><input type="checkbox"/> Assignment &amp; Recordation Cover Sheet</li><li><input type="checkbox"/> Declaration</li><li><input type="checkbox"/> Power of Attorney</li><li><input type="checkbox"/> Application Data Sheet</li><li><input type="checkbox"/> Information Disclosure Statement &amp; PTO/SB/08A<ul style="list-style-type: none"><li><input type="checkbox"/> Copies of IDS Cited References</li></ul></li><li><input type="checkbox"/> Request for Corrected Filing Receipt</li><li><input type="checkbox"/> Request for Correction of Recorded Assignment</li><li><input checked="" type="checkbox"/> Preliminary Amendment: 20 Pages<ul style="list-style-type: none"><li><input type="checkbox"/> After Final</li></ul></li><li><input type="checkbox"/> Status Request</li><li><input type="checkbox"/> Revocation and Substitute Power of Attorney</li></ul> | <ul style="list-style-type: none"><li><input type="checkbox"/> Issue Fee Transmittal</li><li><input type="checkbox"/> Letter to Chief Draftsperson</li><li><input type="checkbox"/> Formal Drawing(s):<ul style="list-style-type: none"><li>[ ] Sheet(s) of Figure(s) [ ]</li></ul></li><li><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences</li><li><input type="checkbox"/> Appeal Communication to Group<br/>(Appeal Notice, Brief, Reply Brief)</li><li><input type="checkbox"/> Certified Copy of Priority Document(s)</li><li><input type="checkbox"/> After Allowance Communication to Group</li><li><input type="checkbox"/> _____</li><li><input type="checkbox"/> _____</li><li><input type="checkbox"/> _____</li><li><input type="checkbox"/> _____</li><li><input type="checkbox"/> _____</li><li><input type="checkbox"/> _____</li></ul> |
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REMARKS:

### SIGNATURE OF ATTORNEY OR AGENT

|                    |                                     |        |               |
|--------------------|-------------------------------------|--------|---------------|
| Signature:         |                                     |        |               |
| Attorney/Reg. No.: | Amir H. Raubvogel, Reg. No.: 37,070 | Dated: | April 4, 2003 |

### CERTIFICATE OF MAILING

I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.

|                                         |                   |        |               |
|-----------------------------------------|-------------------|--------|---------------|
| Signature:                              |                   |        |               |
| Typed or Printed Name:                  | Amir H. Raubvogel | Dated: | April 4, 2003 |
| Express Mail Mailing Number (optional): |                   |        |               |

21495/05938/DOCS/1339842.1



|                                                                                                                                                                               |  |                          |                     |             |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--------------------------|---------------------|-------------|
| <b>FEE TRANSMITTAL</b><br><b>for FY 2003</b><br>Patent fees are subject to annual revision.<br><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27 |  | <b>Complete if Known</b> |                     |             |
|                                                                                                                                                                               |  | Application Number       | 09/976,841          |             |
| TOTAL AMOUNT OF PAYMENT                                                                                                                                                       |  | ( \$ ) 1,896.00          | Attorney Docket No. | 21495-05938 |

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**Technology Center 2600**

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |  |
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| <b>METHOD OF PAYMENT</b> (check all that apply)<br><input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None<br><input type="checkbox"/> Deposit Account:<br>Deposit Account Number: 19-2555<br>Deposit Account Name: Fenwick & West LLP<br>The Commissioner is authorized to: (check all that apply)<br><input type="checkbox"/> Charge fee(s) indicated below <input type="checkbox"/> Credit any overpayments<br><input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application<br><input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account. |  | <b>FEE CALCULATION</b> (continued)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |  |
| <b>1. BASIC FILING FEE</b><br>Large Entity   Small Entity<br>Fee Code   Fee Code   Fee Description   Fee Paid<br>1001 750   2001 375   Utility filing fee  <br>1002 330   2002 165   Design filing fee  <br>1003 520   2003 260   Plant filing fee  <br>1004 750   2004 375   Reissue filing fee  <br>1005 160   2005 80   Provisional filing fee  <br>SUBTOTAL (1)   ( \$ ) 0.00                                                                                                                                                                                                                                                                                                                                                                                                 |  | <b>3. ADDITIONAL FEES</b><br>Large Entity   Small Entity   Fee Description   Fee Paid<br>1051 130   2051 65   Surcharge - late filing fee or oath  <br>1052 50   2052 25   Surcharge - late provisional filing fee or cover sheet  <br>1053 130   2053 130   Non-English specification  <br>1812 2,520   2052 25   For filing a request for <i>ex parte</i> reexamination  <br>1804 920*   2053 130   Requesting publication of SIR prior to Examiner action  <br>1805 1,840*   2052 25   Requesting publication of SIR after Examiner action  <br>1251 110   2053 130   Extension for reply within first month  <br>1252 410   2052 25   Extension for reply within second month  <br>1253 930   2253 465   Extension for reply within third month  <br>1254 1,450   2254 725   Extension for reply within fourth month  <br>1255 1,970   2255 985   Extension for reply within fifth month  <br>1401 320   2401 160   Notice of Appeal  <br>1402 320   2402 160   Filing a brief in support of an appeal  <br>1403 280   2403 140   Request for oral hearing  <br>1451 1,510   2451 1,510   Petition to institute a public use proceeding  <br>1452 110   2452 55   Petition to revive - unavoidable  <br>1453 1,300   2453 650   Petition to revive - unintentional  <br>1501 1,300   2501 650   Utility issue fee (or reissue)  <br>1502 470   2502 235   Design issue fee  <br>1503 630   2503 315   Plant issue fee  <br>1460 130   1460 130   Petitions to the Commissioner  <br>1807 50   1807 50   Processing fee under 37 CFR 1.17(g)  <br>1806 180   1806 180   Submission of Information Disclosure Stmt  <br>8021 40   8021 40   Recording each patent assignment per property (times number of properties)  <br>1809 750   2809 375   Filing a submission after final rejection (37 CFR 1.129(a))  <br>1810 750   2810 375   For each additional invention to be examined (37 CFR 1.129(b))  <br>1801 750   2801 375   Request for Continued Examination (RCE)  <br>1802 900   1802 900   Request for expedited examination of a design application  <br>Other fee (specify) _____ |  |
| <b>2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE</b><br>Total Claims: 111 - 29** = 82 X Fee from below: 18 = Fee Paid: 1476<br>Independent Claims: 9 - 4** = 5 X Fee from below: 84 = Fee Paid: 420<br>Multiple Dependent: _____ = _____<br>Large Entity   Small Entity<br>Fee Code   Fee Code   Fee Description   Fee Paid<br>1202 18   2202 9   Claims in excess of 20  <br>1201 84   2201 42   Independent claims in excess of 3  <br>1203 280   2203 140   Multiple dependent claim, if not paid  <br>1204 84   2204 42   **Reissue independent claims over original patent  <br>1205 18   2205 9   **Reissue claims in excess of 20 and over original patent  <br>SUBTOTAL (2)   ( \$ ) 1,896.00                                                                               |  | SUBTOTAL (3)   ( \$ ) 0.00                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |

\*\*or number previously paid, if greater; For Reissues, see above      \*Reduced by Basic Filing Fee Paid

|                     |                   |                                   |               |
|---------------------|-------------------|-----------------------------------|---------------|
| <b>SUBMITTED BY</b> |                   | <b>Complete (if applicable)</b>   |               |
| Name (Print/Type)   | Amir H. Raubvogel | Registration No. (Attorney/Agent) | 37,070        |
| Signature           |                   | Date                              | April 4, 2003 |



IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE

DJ  
#6 11-9-03  
Precedent

APPLICANTS: Jeffrey C. Hawkins, et al.

APPLICATION NO.: 09/976,841

FILING DATE: October 13, 2001

TITLE: Hand-Held Device

EXAMINER: Unknown

GROUP ART UNIT: 2681

ATTY. DKT. NO.: 21495-05938

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Technology Center 2600

COMMISSIONER FOR PATENTS

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ALEXANDRIA, VA 22313-1450  
01 FC:1201 84.00 DA

PRELIMINARY AMENDMENT

SIR:

Prior to examination of the subject patent application, please add the following  
new claims:

- 1 30. In a handheld device that serves as both a data entry device and a wireless  
2 telephone, a keyboard comprising:  
3 a plurality of keys arranged in a QWERTY configuration;  
4  
5 wherein the plurality of keys comprises at least nine multi-value keys, each  
associated with at least a primary value and a numeric secondary value, the at least nine

04/11/2003 SMINASS1 00000031 09976841

01 FC:1202  
02 FC:1201

1476.00 OP/  
420.00 OP/

CASE 5938

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